

Applicant : William R. Hambrecht et al.  
Serial No. : Continuation Application  
Filed : August 4, 2003  
Page : 1 of 16

Attorney's Docket No.: 13085-007002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William R. Hambrecht et al.      Art Unit : Unknown  
Serial No. : Continuation Application      Examiner : Unknown  
Filed : August 4, 2003  
Title : AUCTION SYSTEM AND METHOD FOR PRICING AND ALLOCATION  
DURING CAPITAL FORMATION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PRELIMINARY AMENDMENT

This amendment is being filed concurrently with an application that is a continuation of pending patent application. The amendment includes a total of 16 pages including 1 sheet of Abstract and 18 attached replacement drawing sheets. Please amend the application as follows:

Amendments to the specification begin on page 2 of this amendment.

Amendments to the drawings begin on page 7 of this amendment.

Amendments to the claims are reflected in the listing of claims which begins on page 8 of this amendment.

Remarks begin on page 15 of this amendment.

A new abstract begins on page 16 of this amendment.

Replacement drawing sheets 1-18 are attached.